

## REMARKS

This is in response to the Office Action mailed on October 31, 2007. Claims 1-42 were pending in the application and rejected.

### Acknowledgement of Consideration of Information Considered in Prior Application

As a preliminary matter, Applicant requests that the Examiner acknowledge that the references cited under 35 U.S.C. § 120, on the earlier filing dates of prior Application Nos. 09/705,287, filed on November 1, 2000; 09/580,352, filed May 25, 2000; and 09/431,390, filed on November 1, 1999, have been considered pursuant to MPEP § 609.02.

### Acknowledgement of Information Disclosure Statement

As an additional preliminary matter, Applicant requests that the Examiner acknowledge that the references cited in the Supplemental Information Disclosure Statements filed on November 14, 2002; December 31, 2003; and February 12, 2004 as having been received and considered. For Examiner's convenience, copies of the Supplemental Information Disclosure Statements are enclosed herein.

### Claim Rejections – 35 U.S.C. §103

In the Office Action, the Examiner rejected claims 1, 2, 4-15, 30, 31 and 33-42 under 35 U.S.C. §103(a) as being unpatentable over Wallman (U.S. Patent No. 6,601,044), in view of Starr (U.S. Patent No. 6,606,606); Claims 3 and 32 under 35 U.S.C. §103(a) as being unpatentable over *Wallman*, in view of *Starr*, and further in view of Rebane (U.S. Patent No. 6,078,904); Claims 16, 17 and 19-29 under 35 U.S.C. §103(a) as being unpatentable over *Wallman*, in view of *Starr*, and further in view of Deep (U.S. Patent No. 6,393,412); and Claim 18 under 35 U.S.C. §103(a) as being unpatentable over *Wallman*, in view of *Starr*, in view of *Deep*, further in view of *Rebane*.

Applicant submits that the *Starr* patent fails to serve as a valid prior art reference under 35 U.S.C. §103(a). The filing date of the *Starr* patent is November 9, 1999, whereas the priority date of the present application is November 1, 1999. In detail, the present application was filed

on August 15, 2001, and claims priority to parent application Serial No. 09/705,287 filed on November 1, 2000, which claims priority to parent application Serial No. 09/580,352 filed on May 25, 2000, which claims priority to parent application Serial No. 09/431,390 filed on November 1, 1999.

Additionally, the provisional application to which the *Starr* patent claims priority, Serial No. 60/107,731, fails to serve as prior art available for use under 35 U.S.C. §103(a). As explained in MPEP § 2136.03(III), the 35 U.S.C. 102(e) critical reference date of a provisional application under 35 U.S.C. 119(e) is the filing date of the provisional application with certain exceptions, but only “if the provisional application(s) properly supports the subject matter relied upon to make the rejection in compliance with 35 U.S.C. 112, first paragraph.” (Emphasis in original). As explained below, the *Starr* provisional application filed November 9, 1998 fails to provide adequate disclosure for its priority-claiming patent under 35 U.S.C. § 112, first paragraph, of the teachings or suggestions for which the *Starr* patent is relied on in the present 35 U.S.C. § 103 rejections.

The *Starr* provisional application fails to provide adequate disclosure to describe and enable the features cited by the Examiner in the later-filed *Starr* patent. Particularly, the provisional application does not disclose the features cited by the Examiner in the Office Action that “provide the subscriber with a form that allows the subscriber to enter a customer identifier and password, the server processes the data to determine whether the subscriber is an authorized user [of] the level of access to be granted to the subscriber.” The provisional application contains only a brief description of providing “access control”, and does not provide an enabling disclosure of how such control could be implemented in a financial system or financial system interface.

The brief mention of “access control” in the *Starr* provisional application does not teach or suggest the service level agreement features as claimed in the present invention. As described on the last paragraph of Page 4 of the *Starr* provisional application, an access control is used to manage the ability of users to access features of the financial system interface. This access control does little more than control a user’s permission or privilege to access pre-existing

features of the financial system. In contrast, the service level agreement of the presently claimed invention provides different combinations of services, with each of these levels of services potentially containing different capabilities and service attributes. Thus, the presently claimed invention does more than merely track which users can access the system—it also provides unique combinations of financial services to disparate users based on which service level agreement the user has selected.

Finally, the Starr provisional application fails to teach or suggest any correlation between providing various service levels and portfolio modeling and coaching. The provisional application also fails to teach or suggest the feature of identifying a financial model selected from a set of financial models based on the selected service agreement. The provisional application, in fact, fails to make any mention of financial modeling, coaching, portfolio services, or any related concepts. The presently claimed invention contains the functionality to provide numerous services and service levels related to portfolio modeling and coaching. Such functionality is much more advanced than the basic capabilities of accessing financial transaction information as disclosed in the Starr provisional application.

Because the *Starr* patent cited by the Examiner fails to serve as a valid prior art reference under § 103(a), Applicants have rebutted the *prima facie* case of obviousness under § 103. The *Starr* patent cannot benefit from a priority claim to its provisional application for purposes of the current § 103 rejections due to the provisional application's failure to adequately support the child patent's subject matter according to § 112, first paragraph. In addition, the disclosure of the Starr provisional application fails to teach or suggest each limitation of the presently claimed invention. Applicants accordingly request that the rejection of Claims 1-42 under 35 USC § 103(a) be withdrawn.

### CONCLUSION

Applicants submit that all pending claims are allowable and respectfully request that a Notice of Allowance be issued in this case. In the event a telephone conversation would expedite the prosecution of this application, the Examiner may reach the undersigned at (612) 607-7237. If any fees are due in connection with the filing of this paper, then the Commissioner

Serial No. 09/930,786

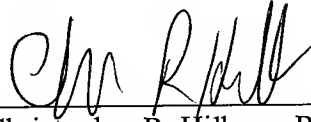
In reply to: Office Action mailed October 31, 2007

Page 14 of 14

is authorized to charge such fees including fees for any extension of time, to Deposit Account No. 50-1901 (Reference 60021-375602).

Respectfully submitted,

By



Christopher R. Hilberg, Reg. No. 48,740  
Customer No. 29838

Oppenheimer Wolff & Donnelly, LLP  
45 South Seventh St., Suite 3300  
Minneapolis, MN 55402-1609  
Telephone: 612-607-7237  
Facsimile: 612-607-7100  
E-mail: CHilberg@oppenheimer.com



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PATENT

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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

## CERTIFICATE OF MAILING

I hereby certify that on November 14, 2002, which is the date I am signing this certificate, I am depositing this correspondence the United States Postal Service, first class mail, in an envelope addressed to the Commissioner of Patents, Washington, D.C. 20231

*Kurt Canada*  
Kurt Canada

Applicant: Sloan, Ron

Serial No.: 09/930,786

Filed: 11/01/2000

Title: FINANCIAL PORTFOLIO RISK  
MANAGEMENT PER E-MAIL PER E-MAIL

Atty. Docket No.: 060021-375602

Examiner: Pwu, Jeffrey C.

Group Art Unit: 3624

Commissioner for Patents  
Washington, D.C. 20231

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. § 1.56

Sir:

Pursuant to 37 C.F.R. § 1.56, § 1.97 and § 1.98, Applicant brings the references listed on the attached Form PTO-1449 to the examiner's attention. 37 C.F.R. § 1.56. These references may be material to examination of the above-identified application. Please do not construe the filing of this information disclosure statement as a representation that applicant has made a search (37 C.F.R. § 1.97(g)), or as an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists. We enclose copies of the cited documents within a box herewith.

This Information Disclosure Statement is being submitted:

- ☒ 1. Within three months of the filing date of a national application other than a continued prosecution application under 37 CFR 1.53(d), or within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office action on the merits, or before the mailing of a first Office action after the filing of a request for continued examination under 37 CFR 1.114, and therefore, Applicant believes no fee is required;
- ☐ 2. After the period specified in paragraph (1) hereinabove of this section, but is being filed before the mailing date of either a final action under 37 CFR 1.113, or a notice of allowance under 37 CFR 1.311, or an action that otherwise closes prosecution in the application, and is accompanied by one of the following:
- ☐ (a) A statement that either:

- (i) Each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement;

OR

- (ii) No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement;

OR

- ☐ (b) The fee of \$180 for filing of an Information Disclosure Statement as set forth in 37 C.F.R. 1.17(p).

- ☐ 3. After the period specified in paragraph (2) of this section, but is filed on or before payment of the issue fee and is accompanied by both:

- ☐ (a) A statement that either:

- (i) Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement;

OR

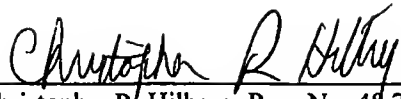
- (ii) No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement;

- ☐ (b) The fee of \$180.00 for filing of an Information Disclosure Statement as set forth in 37 CFR 1.17(p).

Applicant would appreciate the Examiner initialing and signing a copy of Form PTO-1449, transmitted herewith, indicating that the information has been considered and made of record herein.

In the unlikely event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, Applicant petitions for any required relief including extensions of time and authorizes the Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No. 50-1901** referencing order number 060021-375602.

November 14, 2002

  
Christopher R. Hilberg, Reg. No. 48,740  
Attorney for Applicant

**OPPENHEIMER WOLFF & DONNELLY LLP**  
1400 Page Mill Road  
Palo Alto, CA 94304  
Telephone: (612) 607-7386 • Fax: (612) 607-7100



Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	09/930,786
				Filing Date	Aug-10-2001
				First Named Inventor	Sloan, Ronald E.
				Art Unit	3624
				Examiner Name	Pwu, Jeffrey C.
Sheet	1	of	3	Attorney Docket Number	60021-375602

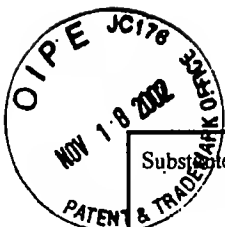
U.S. PATENT DOCUMENTS				
Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number -Kind Code <sup>2</sup> (if known)	Issue Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
	1	4,896,291	01/23/1990	Gest et al.
	2	5,132,899	07/21/1992	Fox, Philip J.
	3	5,185,696	02/09/1993	Yoshino et al.
	4	5,193,056	03/09/1993	Boes, R. Todd
	5	5,214,579	05/25/1993	Wolfberg et al.
	6	5,222,019	06/22/1993	Yoshino et al.
	7	5,761,442	06/02/1998	Barr et al.
	8	5,784,696	07/21/1998	Melnikoff, Meyer
	9	5,799,287	08/25/1998	Dembo
	10	5,826,250	10/20/1998	Trefler
	11	5,852,811	12/22/1998	Atkins, Charles Agee
	12	5,870,550	02/09/1999	Wesinger, Jr
	13	5,875,437	02/23/1999	Atkins
	14	5,884,287	03/16/1999	Edesess
	15	5,903,879	05/11/1999	Mitchell
	16	5,911,135	06/08/1999	Atkins
	17	5,918,217	06/29/1999	Maggioncalda et al.
	18	5,940,812	08/12/1999	Tengel et al
	19	5,970,478	10/19/1999	Walker et al.
	20	5,987,436	11/16/1999	Halbrook
	21	5,999,918	12/07/1999	Williams et al
Examiner Signature				Date Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

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<b>Substitute for form 1449A/PTO</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				<b>Application Number</b>	09/930,786
				<b>Filing Date</b>	Aug-10-2001
				<b>First Named Inventor</b>	Sloan, Ronald E.
				<b>Art Unit</b>	3624
				<b>Examiner Name</b>	Pwu, Jeffrey C.
<b>Sheet</b>	2	<b>of</b>	3	<b>Attorney Docket Number</b>	60021-375602

U.S. PATENT DOCUMENTS				
Examiner Initials*	Cite No. <sup>1</sup>	Document Number		Issue Date MM-DD-YYYY
		Number	-Kind Code <sup>2</sup> (if known)	
	22	6,003,018		12/14/1999
	23	6,006,201		12/21/1999
	24	6,012,042		01/04/2000
	25	6,012,044		01/04/2000
	26	6,018,722		01/25/2000
	27	6,021,397		02/01/2000
	28	6,055,514		04/25/2000
	29	6,058,378		05/02/2000
	30	6,064,986		05/16/2000
	31	6,125,355		09/26/2000
	32	6,195,697		02/27/2001
	33	6,282,520		08/28/2001
	34	6,292,787		09/18/2001
	35	6,349,290		02/19/2002
	36	US-2001-0032207 A1		10/28/2001
Examiner Signature				Date Considered

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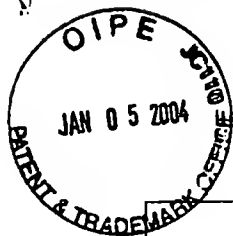


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Sheet	3	of	3		

FOREIGN PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>2</sup> -Number <sup>3</sup> -Kind Code <sup>4</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T <sup>6</sup>
OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS					
Examiner Initials	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published			T <sup>2</sup>
	37	Press Release, "ZY.COM: ZY.com makes creating and publishing websites simple and FREE for everyone", M2 Presswire; Coventry; March 26, 1998, pages 2, extracted on Internet on October 29, 2001 from Proquest database [ <a href="http://proquest.umi.com/pqdweb">http://proquest.umi.com/pqdweb</a> ]			
Examiner Signature				Date Considered	

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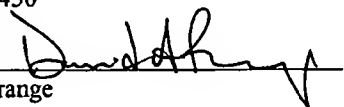


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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

CERTIFICATE OF MAILING

I hereby certify that on **December 31, 2003**, which is the date I am signing this certificate, I am depositing this correspondence the United States Postal Service, first class mail, in an envelope addressed to the Commissioner of Patents, P.O. Box 1450, Alexandria, VA 22313-1450

  
David Prange

**Applicant:** STEPHEN B SLUTSKY

**Serial No.:** 09/930,786

**Filed:** 08-15-2001

**Title:** FINANCIAL PORTFOLIO RISK  
MANAGEMENT

**Atty. Docket No.:** 060021-375602

**Examiner:** PWU, JEFFREY C

**Group Art Unit:** 3628

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. § 1.56**

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GROUP 3600

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☒ (b) The fee of \$180 for filing of an Information Disclosure Statement as set forth in 37 C.F.R. 1.17(p).

☐ 3. After the period specified in paragraph (2) of this section, but is filed on or before payment of the issue fee and is accompanied by both:

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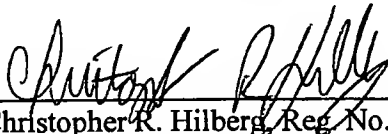
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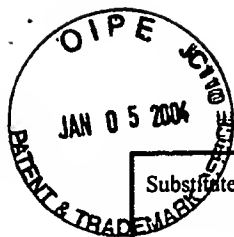
Applicant would appreciate the Examiner initialing and signing a copy of Form PTO-1449, transmitted herewith, indicating that the information has been considered and made of record herein.

In the unlikely event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, Applicant petitions for any required relief including extensions of time and authorizes the Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to Deposit Account No. 50-1901 referencing order number 060021-375602.

December 29, 2003

  
\_\_\_\_\_  
Christopher R. Hilberg, Reg. No. 48,740  
Attorney for Applicant

**OPPENHEIMER WOLFF & DONNELLY LLP**  
45 South Seventh St.  
Plaza VII, Suite 3300  
Minneapolis, MN 55402-1609  
Telephone: (612) 607-7386 • Fax: (612) 607-7100



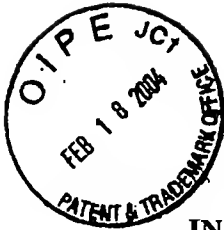
<b>Substitute for form 1449A/PTO</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)				<b>Complete If Known</b>	
				Application Number	09/930,786
				Filing Date	08-15-2001
				First Named Inventor	STEPHEN B SLUTSKY
				Art Unit	3628
				Examiner Name	PWU, JEFFREY C
Sheet	1	of	1	Attorney Docket Number	060021-375602

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number		Issue Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
		Number	-Kind Code <sup>2</sup> (if known)		

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T <sup>6</sup>
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)				

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
	1	<u>Dayco</u> Statement Regarding Related Applications	
Examiner Signature			Date Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.  
<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04.  
<sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.



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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

CERTIFICATE OF MAILING

I hereby certify that on February 12, 2004, which is the date I am signing this certificate, I am depositing this correspondence the United States Postal Service, first class mail, in an envelope addressed to the Commissioner of Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Ann Pommier  
Ann Pommier

Applicant: Sloan, Ronald E.

Serial No.: 09/930,786

Filed: 08/15/2001

Title: FINANCIAL PORTFOLIO RISK  
MANAGEMENT

Atty. Docket No.: 060021-375602

Examiner: Pwu, Jeffrey C.

Group Art Unit: 3624

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. § 1.56

Sir:

Pursuant to 37 C.F.R. § 1.56, § 1.97 and § 1.98, Applicant brings the references listed on the attached Form PTO-1449 to the examiner's attention. 37 C.F.R. § 1.56. These references may be material to examination of the above-identified application. Please do not construe the filing of this information disclosure statement as a representation that applicant has made a search (37 C.F.R. § 1.97(g)), or as an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists. We enclose copies of the cited documents within a box herewith.

This Information Disclosure Statement is being submitted:

- ☐ 1. Within three months of the filing date of a national application other than a continued prosecution application under 37 CFR 1.53(d), or within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office action on the merits, or before the mailing of a first Office action after the filing of a request for continued examination under 37 CFR 1.114, and therefore, Applicant believes no fee is required;
- ☒ 2. After the period specified in paragraph (1) hereinabove of this section, but is being filed before the mailing date of either a final action under 37 CFR 1.113, or a notice of allowance under 37 CFR 1.311, or an action that otherwise closes prosecution in the application, and is accompanied by one of the following:
- ☐ (a) A statement that either:
- (i) Each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a coun-

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terpart foreign application not more than three months prior to the filing of the information disclosure statement;

OR

- (ii) No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement;

OR

- ☒ (b) The fee of \$180 for filing of an Information Disclosure Statement as set forth in 37 C.F.R. 1.17(p).

- ☐ 3. After the period specified in paragraph (2) of this section, but is filed on or before payment of the issue fee and is accompanied by both:

- ☐ (a) A statement that either:
- (i) Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement;

OR

- (ii) No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement;

- ☐ (b) The fee of \$180.00 for filing of an Information Disclosure Statement as set forth in 37 CFR 1.17(p).

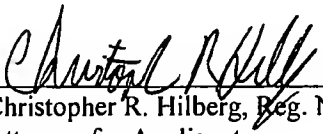
Applicant would appreciate the Examiner initialing and signing a copy of Form PTO-1449, transmitted herewith, indicating that the information has been considered and made of record herein.

In the unlikely event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, Applicant petitions for any required relief including extensions of time and authorizes the Commissioner to charge the cost of such petitions and/or

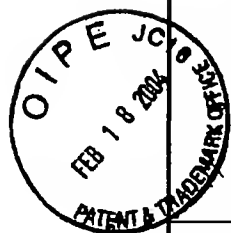


other fees due in connection with the filing of this document to **Deposit Account No. 50-1901** referencing order number 060021-375602.

February 12, 2004

  
\_\_\_\_\_  
Christopher R. Hilberg, Reg. No. 48,740  
Attorney for Applicant

**OPPENHEIMER WOLFF & DONNELLY LLP**  
45 South Seventh Street  
Plaza VII, Suite 3300  
Minneapolis, MN 55402-1609  
Telephone: (612) 607-7386 • Fax: (612) 607-7100



Substitute for form 1449A/PTO				Complete if Known	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>				Application Number	09/930,786
				Filing Date	Aug-15-2001
				First Named Inventor	Sloan, Ronald E.
				Art Unit	3624
				Examiner Name	Pwu, Jeffrey C.
Sheet	1	of	3	Attorney Docket Number	60021-375602

U.S. PATENT DOCUMENTS				
Examiner Initials*	Cite No. <sup>1</sup>	Document Number		Name of Patentee or Applicant of Cited Document
		Number	-Kind Code <sup>2</sup> (if known)	
	1	4,822,647		Nozaki et al.
	2	5,729,700		Melnikoff, Meyer
	3	5,806,049		Petruzzi, Christopher R.
	4	5,811,055		Geiger, Michael B.
	5	5,852,811		O'Shaughnessy, James P.
	6	5,893,079		Cwenar, Daniel
	7	5,930,774		Chennault, William C.
	8	5,963,925		Kolling et al.
	9	5,978,778		O'Shaughnessy, James P.
	10	6,064,984		Ferguson et al.
	11	6,081,768		Ullman et al.
	12	6,408,225		Ortmeier et al.
	13	6,477,447		Lin, Chi-Fa
	14	6,230,197 B1		Beck et al.
	15	6,233,566 B1		Levine et al.
	16	6,292,827 B1		Raz, Uri
	17	6,317,726 B1		O'Shaughnessy, James P.
	18	6,332,154 B2		Beck et al.
	19	6,336,102 B1		Luskin et al.
	20	6,370,508 B2		Beck et al.
	21	6,513,069 B1		Abato et al.
Examiner Signature				Date Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet

2

of

3

**Complete if Known****Application Number**

09/930,786

**Filing Date**

Aug-15-2001

**First Named Inventor**

**Sloan, Ronald E.**

### Art Unit

3624

**Examiner Name**

Pwu, Jeffrey C.

Attorney Docket Number

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## U.S. PATENT DOCUMENTS

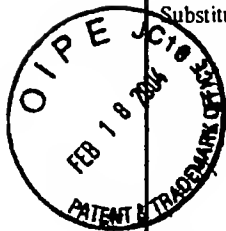
Examiner Initials*	Cite No. <sup>1</sup>	Document Number		Issue Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
		Number	-Kind Code <sup>2</sup> (if known)		
	<b>22</b>	<b>6,539,419</b>	<b>B2</b>	<b>03-2003</b>	<b>Beck et al.</b>
	<b>23</b>	<b>6,574,600</b>	<b>B1</b>	<b>06-2003</b>	<b>Fishman et al.</b>
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issued the document, by the two-letter code (WIPO Standard ST.15). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.<sup>3</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible.<sup>4</sup> Applicant is to place a check mark here if English language Translation is attached.

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	24	JP410093729A	09-1996	Yoshikawa	
	25	JP2000163030A	06-2000	HITA	
	26	JP411110447A	04-1999	Kubo	
	27	JP2000355290A	12-2000	Furuta	
	28	JP408086190A	04-1996	Kotani et al.	
	29	GB 2 192 567 A	01-1998	Hiro Yoshi et al.	
OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS					
Examiner Initials	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published			T <sup>2</sup>
	30	GLENN KENNEDY et al., "Web to watch CAD companies online", from CADalyst, 09-01-2000			
	31	ROB FANJOGY, "New design software connects colleagues", from Professional Builder, 03-01-1999			
	32	OUCHI et al., "Handshake telephone system to communicate with voice and force", 1997, IEEE, pp. 466-471			
	33	SATO et al., "Measuring system for grasping", 1996, IEEE, pp. 292-297			
	34	KARLSSON et al., "A glove equipped with finger flexion sensors as command generator used in fuzzy control system", 1998, IEEE, pp. 1330-1334			
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